

Please read Key Information Memorandum, the instructions and product labelling before filling this application

**KEY PARTNER/AGENT INFORMATION (Investors Applying under direct plan should mention "DIRECT" in ARN Column)**

Distributor/ RIA Code	Sub Agent ARN	Sub Agent Code/Bank Branch Code/Internal Code	*Employee Unique Identification Number (EUIN)
ARN-			

\* EUIN Declaration (Only where EUIN box is left blank) - EUIN Declaration: I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/ relationship manager/sales person of the distributor/sub broker and the distributor has not charged any advisory fees on this transaction. (Refer Instruction No XII)

Signature of Sole/First Applicant/Guardian	Signature of Second Applicant	Signature of Third Applicant
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<b>1. EXISTING INVESTOR FOLIO NUMBER</b>	<b>2. MODE OF HOLDING</b> [Please tick (✓)]
<input type="text"/>	<input type="checkbox"/> Single <input type="checkbox"/> Joint (Default) <input type="checkbox"/> Any one or Survivor

**3. TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY (Please Refer Instruction No.V)** [Please tick (✓)]

I am a First time investor across Mutual Funds OR  I am an existing investor in Mutual Funds

In case the purchase/subscription amount Rs 10,000/- or more and your Distributor has opted to receive transactions charges, the same are deductible as applicable from the purchase/subscription amount and paid the distributor. Units will be issued against the balance amount invested.

**4. APPLICANT DETAILS**

**Sole/First Applicant** Mr. Ms. M/s.

**Name of Guardian** if first applicant is minor/  
**Contact Person** for non individuals Mr. Ms. M/s.

**Guardian's Relationship with Minor**  
 Father  Mother  Court Appointed Guardian

**Date of Birth/Incorporation of 1st Applicant**           (Mandatory in case of Minor)

**Proof of Date of Birth and Guardian's Relationship with Minor**  
 Birth Certificate  Passport  Others (Please specify) \_\_\_\_\_

**PAN / PEKRN**  **CKYC ID (CKIN)**

**LEI No.:** \_\_\_\_\_ **Valid upto:** \_\_\_\_\_ Note: LEI No. is Mandatory for transaction amount ₹50 Crs and above for Non Individual. (Refer Instruction No.XV)

**STATUS**  
 Resident Individual  Sole Proprietor  Public Limited Company  FPI Category I  Banks  Body Corporate  Trust /Society/ NGOs\* (Enter Registration No. of Darpan Portal)  
 NRI  HUF  Private Limited Company  FPI Category II  Defence Establishment  AOP/BOI  Non Profit Organization/Charities\* (Enter Registration No. of Darpan Portal)  
 On Behalf of Minor  Financial Institutions  Partnership Firm/LLP  FPI Category III  Government Body  Mutual Fund FOF Schemes  Others (Please specify) \_\_\_\_\_ \* Mandatory to fill Point No. 11 of this Application Form.

Are you involved / providing any of the mentioned services : (Applicable only for Non Individuals)  
 Foreign Exchange/ Money Changer Services  Gaming / Gambling / Lottery / Casino Services  
 Money Lending / Pawning  None of the above

<b>Correspondence Address</b> (Address details will be updated as per your KYC records with CKYC / KRA)	<b>Overseas Address</b> (Mandatory for NRI / FPI Applicants & PIO's)
House/Flat No. <input type="text"/>	House/Flat No. <input type="text"/>
Street Address <input type="text"/>	Street Address <input type="text"/>
City/Town <input type="text"/>	City/Town <input type="text"/>
State <input type="text"/>	State <input type="text"/>
Country <input type="text"/>	Country <input type="text"/>
Pin Code <input type="text"/>	ZIP Code <input type="text"/>
Tel. (Res.) <input type="text"/> (STD Code) <input type="text"/>	Tel. (Off.) <input type="text"/> (Country Code) <input type="text"/>
	Fax <input type="text"/> (Country Code) <input type="text"/>
Mobile No. <input type="text"/>	Email ID (CAPITAL Letters Only) <input type="text"/>

Email ID belongs to  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian in case of minor  Others \_\_\_\_\_

Mobile No. belongs to  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian in case of minor  Others \_\_\_\_\_

Investors providing Email Id would mandatorily receive Statement of Accounts/ Annual Report / Abridged Summary/ Statutory & other documents on email. Please register your Mobile No & Email Id with us to get transaction alerts via SMS & Email, respectively. I hereby declare that I shall immediately update any change in Mobile Number/Email ID.

**Second Applicant** Mr. Ms. M/s.

**DOB**

**PAN / PEKRN**  **CKYC ID (CKIN)**

**STATUS** :  Resident Individual  NRI

Mobile No.  Email ID (CAPITAL Letters Only)

Email ID belongs to  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian in case of minor  Others \_\_\_\_\_

Mobile No. belongs to  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian in case of minor  Others \_\_\_\_\_

**Third Applicant** Mr. Ms. M/s.

**DOB**

**PAN / PEKRN**  **CKYC ID (CKIN)**

**STATUS** :  Resident Individual  NRI

Mobile No.  Email ID (CAPITAL Letters Only)

Email ID belongs to  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian in case of minor  Others \_\_\_\_\_

Mobile No. belongs to  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian in case of minor  Others \_\_\_\_\_

**HELIOS MUTUAL FUND - ACKNOWLEDGEMENT SLIP**

Name of the Investor Mr/Ms/M/s : \_\_\_\_\_ **FOLIO NO.**

Scheme Name, Plan & Option: \_\_\_\_\_ **Plan:** \_\_\_\_\_ **Option:** \_\_\_\_\_ **PAN NO.**

Amount (₹) : \_\_\_\_\_ **APPLICATION NO.**

All purchases are subject to realization of payment instrument. Please retain this slip, duly acknowledged by the official collection center till you received your account statement.

**5. DEMAT ACCOUNT INFORMATION (Mandatory for crediting units in demat account)**

If you wish to hold your investment in dematerialised mode please furnish the below details and enclose a copy of the Client Master/Transaction Cum Holding Statement/ Cancelled delivery instruction slip.

NSDL  DP Name \_\_\_\_\_ DP ID  I  N  \_\_\_\_\_ Beneficiary Account No. \_\_\_\_\_

CDSL  DP Name \_\_\_\_\_ Beneficiary Account No. \_\_\_\_\_

**6. BANK ACCOUNT DETAILS MANDATORY for Redemption/IDCW/Refunds, if any (Refer instruction No.III)**

Account No. \_\_\_\_\_ M a n d a t o r y \_\_\_\_\_ A/c. Type (✓)  SB  Current  NRO  NRE  FCNR

Name of Bank \_\_\_\_\_ M a n d a t o r y \_\_\_\_\_ Bank Branch \_\_\_\_\_

Branch City \_\_\_\_\_ PIN \_\_\_\_\_ IFSC Code \_\_\_\_\_ F o r C r e d i t v i a R T G S \_\_\_\_\_ MICR Code \_\_\_\_\_

Please ensure the name on this application form and in your bank, account is the same. Mandatory to attach proof in case the pay-out bank account is different from the bank account from where investment is made.

**7. INVESTMENT & PAYMENT DETAILS (Separate Application Form is required for investment in each Plan/Option. Multiple cheques not permitted with Single Application Form) (Refer instruction No.IV)**

Scheme: Helios Plan (Select any one)  Direct  Regular

Option  Growth (default)  Income Distribution Cum Capital Withdrawal option (IDCW) Frequency (if any) \_\_\_\_\_

IDCW Payout  IDCW Reinvestment (Wherever applicable)

Mode of Payment  Cheque  DD  Funds Transfer  OTBM Facility (One Time Bank Mandate)  RTGS / NEFT

Investment Amount (₹)	DD Charges (₹)	Net Amount (₹)	Instrument No/TR No.	Date	Drawn on Bank	Bank Branch	City
				D D M M Y Y Y Y			

**8. FATCA and CRS DETAILS - Mandatory for Individuals - Non Individual Investors should mandatorily fill separate FATCA/CRS details Form (Refer instruction No.XIV)**

Please indicate all Countries in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN etc.

Sole/First Applicant/Guardian			Second Applicant			Third Applicant		
Country	Tax Payer Ref. ID No	Identification Type	Country	Tax Payer Ref. ID No	Identification Type	Country	Tax Payer Ref. ID No	Identification Type
1								
2								
3								
Country of Birth			Country of Birth			Country of Birth		
Country of Nationality			Country of Nationality			Country of Nationality		

In case Country of Tax Residence is only India then details of Country of Birth & Nationality need not be provided. In case Tax Identification Number is not available, kindly provide its functional equivalent.

**9. ADDITIONAL KYC DETAILS (For Non Individuals, please attach mandatory UBO Declaration Form) (Mandatory)**

OCCUPATION	Government Service/ Public Sector	Private Sector Service	Professional	Business	Housewife	Retired	Student	Agriculturist	Forex Dealer	Others
1 <sup>st</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (please specify) _____
2 <sup>nd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (please specify) _____
3 <sup>rd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (please specify) _____
Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (please specify) _____

GROSS ANNUAL INCOME DETAILS	Below ₹1 Lac	₹1-5 Lacs	₹5-10 Lacs	₹10-25 Lacs	₹25 Lacs-1 Crore	>₹1 Crore	NET-WORTH (in ₹)	Date
1 <sup>st</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(Net worth should	D D M M Y Y Y Y
2 <sup>nd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	not be older	D D M M Y Y Y Y
3 <sup>rd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	than 1 year)	D D M M Y Y Y Y
Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		D D M M Y Y Y Y

PEP DETAILS	1st Applicant		2nd Applicant		3rd Applicant		Guardian	
Are you a Politically Exposed Person (PEP)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Are you related to a Politically Exposed Person (PEP)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**10. POWER OF ATTORNEY (POA) HOLDER DETAILS (If the investment is being made by a Constituted Attorney, please furnish the details of POA Holder)**

First Applicant POA Name Mr./Ms./M/s \_\_\_\_\_ PAN \_\_\_\_\_

Original POA document or notarized copy of POA needs to be submitted in case of Investment through POA. In case each applicant wants to provide separate POA, the same can be provided by the way of letter.

**11. NON-PROFIT ORGANIZATION (NPO) DECLARATION (Please Refer instruction no. XVI).**

We are falling under "Non-Profit Organization" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).  Yes  No

If yes, please quote Registration No. of Darpan portal of Niti Aayog

If not, please register immediately and confirm with the above information. Failure to get above confirmation or registration with the portal as mandated, wherever applicable will force MF / AMC to register your entity name in the above portal and may report to the relevant authorities as applicable. We am/are aware that we may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable.

**12. NOMINATION FOR UNITS IN NON-DEMAT MODE (Mandatory for new folios) (Refer instruction No.VI)**

A) I/We wish to nominate as under: **OR**  B) I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio and understand the implications / issues involved in non-appointment of any nominee(s) and am/ are further aware that in case of my demise / death of all the unit holders in the folio, my / our legal heir(s) would need to submit all the requisite documents issued by the Court or such other competent authority, as may be required by the Mutual Fund / AMC for settlement of death claim / transmission of units in favour of the legal heir(s), based on the value of the units held in the mutual fund folio/s.

Name and Address of Nominee(s) (IN CAPITALS) (Mandatory)	PAN	Nominee Relationship (Mandatory)* (Proof to be attached)	Date of Birth	Name of the Guardian (Mandatory) PAN and Address of Guardian (Optional)	Guardian's Relationship with Nominee (Mandatory)	Signature of Nominee (Optional)/ Guardian of Nominee (Mandatory)	Allocation % to each Nominee (should aggregate to 100%) (Mandatory)
				(Mandatory to be furnished in case the Nominee is a minor)			
Nominee 1			DD MM YYYY	NAME  PAN	<input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Gaurdian		
Nominee 2			DD MM YYYY	NAME  PAN	<input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Gaurdian		
Nominee 3			DD MM YYYY	NAME  PAN	<input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Gaurdian		

I/We have read and understood the instructions on nomination and I/We hereby undertake to abide by the same. The instructions contained herein supercedes all previous nominations made by me/us in respect of the folio(s) mentioned above.

To be signed by ALL holders, irrespective of Mode of Holding or Mode of Operation

POA holder cannot nominate.	Signature of Sole/First Applicant	Signature of Second Applicant	Signature of Third Applicant
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**13. RESOLUTION OF DISPUTES (For Institutional or Corporate Clients) (Refer instruction No.XVII)**

Smart ODR **OR**  by harnessing any independent institutional mediation, conciliation and/or online arbitration institution in India.

**14. DECLARATION AND SIGNATURE**

I/We have read, understood the terms and conditions of the SID/KIM/SAI and the addendums issued thereto till date, as well as the rules and regulations of SEBI, AMFI, Prevention of Money Laundering Act, 2002, Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) under FATCA & CRS provision of the Central Board of Direct Taxes notified Rules 114 F to 114H, as part of the Income-tax Rules, 1962, and such other regulations as may be applicable to me/us from time to time and agree to comply with the same as a Unitholder. I /We hereby apply to the Trustees for allotment of Units of the Scheme(s) of Helios Mutual Fund ('Fund') and confirm and declare as follows: I/We am/are eligible Investor(s) as per the scheme related documents and not prohibited from accessing capital markets by any order/ruling/Judgment etc. passed by SEBI/Statutory Authority or Courts in India and Foreign laws. I/We am/are authorised to make this investment as per the Constitutive documents/ authorization(s). I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act / Regulations / Rules / Notifications / Directions or any other Applicable Laws enacted by the Government of India or any Statutory Authority. RIA Declaration: I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the above-mentioned SEBI-Registered Investment Adviser/RIA. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We hereby declare that the above information is given by the undersigned and the particulars given by me/us are correct and complete. I/We hereby agree and authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/up- dates that may be provided by me/us to the Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, agents and third party service providers, SEBI registered intermediaries for single updation / submission, any Indian or foreign statutory, regulatory, judicial, quasi-judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. I/We have read and understood the purpose(s), as described under the Privacy Policy of the AMC, for which my/our details can be shared with various entities/people/authorities indicated in foregoing Para and I/We hereby consent to the same. I/We hereby confirm that I/we have not been offered/ communicated any indicative portfolio and/or any indicative yield by the Fund/AMC/its distributor for this investment. I/We hereby authorize the representatives of the Fund/AMC and its Associates to contact me through any mode of communication. This will override the registry on DND / DNDC, as the case may be.

Signature of Sole/First Applicant/Guardian	Signature of Second Applicant	Signature of Third Applicant
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**CHECKLIST FOR DOCUMENTATION - Please submit the following documents with your application (where applicable)**

SR.No.	Documents	Individuals	NRIs/ PIO/ OCI	Minors	Companies / Body Corporates	Trusts	Societies	HUF	Partnership Firms	FPIs	Investments through Constituted Attorney
1	Signed A/c Payee cheque/draft favouring the scheme	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
2	Copy of cancelled cheque ( Required where pay out bank details are different from the instrument bank)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
3	Resolution / Authorisation to invest				✓	✓	✓		✓	✓	
4	List of Authorised Signatories with Specimen Signature(s)				✓	✓	✓		✓	✓	✓
5	Memorandum & Articles of Association				✓						
6	Trust Deed					✓					
7	Bye-Laws						✓				
8	Partnership Deed / Deed of Declaration							✓	✓		
9	Proof of PAN & KYC / CKYC - KIN number (including for guardian)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
10	Foreign Inward Remittance Certificate		✓							✓	
11	Date of Birth Certificate or School Living Certificate or Passport of Minor evidencing relationship with Guardian			✓							
12	Declaration for Identification of Beneficial ownership				✓	✓	✓		✓	✓	✓
13	FATCA / CRS	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
14	PIO/OCI (As applicable)		✓								

All documents for entities above should be originals/true copies certified by the Director/Trustee/Company Secretary/Authorised Signatory/Notary Public, as applicable.

